



# Safety Management System (SMS) Quick Reference Guide

## The Four SMS Components

### Safety Policy

Establishes senior management's commitment to continually improve safety; defines the methods, processes, and organizational structure needed to meet the safety goals

### Safety Assurance

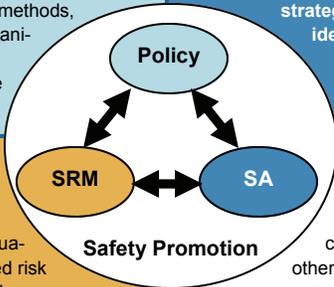
Evaluates the continued effectiveness of implemented risk control strategies, supports the identification of new hazards

### Safety Risk Management

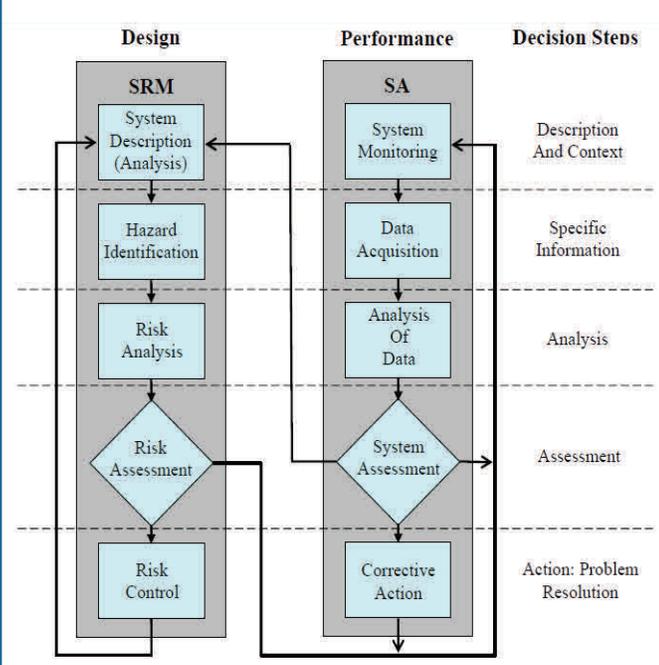
Determines the need for, and adequacy of, new or revised risk controls based on the assessment of acceptable risk

### Safety Promotion

Includes training, communication, and other actions to create a positive safety culture within all levels of the workforce



## Interface Between SRM and SA



## Documents needed for SMS Implementation

### Read-Me-First Document

Provides a description of SMS documents, guidance and tools as they relate to voluntary SMS implementation.

### AC 120-92A

Safety Management Systems for Aviation Providers

### SMS Implementation Guide

### SMS Assurance Guide

#### Preliminary Gap Analysis Tools

(Operator) (Maintenance Repair Organization)

#### Detailed Gap Analysis Tools

(Operator) (Maintenance Repair Organization)

#### NPRM Part 5 Gap Analysis Tool

(Air Carrier) (Maintenance)

## ICAO Documents

[Annex 6, Operation of Aircraft \(Amendment 33-B\)](#)

[Annex 8—Airworthiness of Aircraft \(Amdt 101\)](#)

[Annex 13 \(Amendment 12B\)](#)

[ICAO DOC 9859](#)

ICAO Safety Management Manual (SMM) (3rd edition 2012)

## FAA & AVS Implementation Plans

[FAA SMS Implementation Plan](#) (April 16, 2012)

[AVS SMS Implementation Plan](#) (February 21, 2013)

## FAA Orders

[FAA Order 8000.369](#) (FAA SMS Guidance)

Safety Management System Guidance (September 2008)

Supersedes FAA Order VS 8000.1

[FAA Order 8040.4A](#)

Safety Risk Management Policy (April 2012)

Supports FAA Order 8000.369

[FAA Order VS 8000.367](#) (AVS SMS Guidance)

AVS Safety Management System Requirements (November 2012)

[FAA Order VS 8000.370](#)

Aviation Safety (AVS) Safety Policy (September 2009)

[FAA Order 8000.368](#) (AFS SMS Guidance)

Flight Standards Service Oversight (SMS Guidance for Flight Standards) (July 2008)

[FAA Order 1110.152](#)

Safety Management System (SMS) Aviation Rulemaking Committee (February 2009)

## FAA Notices/InFOs/Memos

[Notice 8900.133](#)

Safety Management Systems Update (August 2010)

[InFO Notice 08022](#)

FAA Safety Management System (SMS developments – No. 1 (May 2008)

[InFO Notice 08053](#)

FAA Safety Management System (SMS developments – No. 2 (November 2008)

[InFO Notice 11010](#)

FAA Safety Management System Developments for General Aviation Operators (April 2011)

## Other SMS Reference Material

[Report on DOT Significant Rulemakings \(Status of Part 5 Rule\)](#)

[AFS SMS Newsletter](#)

[Part 5 NPRM Regulatory Text](#)

## Important Websites

[SMS Pilot Project & Voluntary Implementation](#)

Note: All of the documents listed are found on this website.

[SMS Program Office Website](#)

Safety Management System Documents and Guidance



# Safety Management System (SMS) Quick Reference Guide

## SMS Milestones

- November 23, 2006 [ICAO Annex 6, Part 1](#)- Directed all member states from January 1, 2009 to require that an operator implement a safety management system (SMS). The FAA has filed a "difference" or notification to ICAO member states of the inability to meet the January 1, 2009 deadline as described in [Notice 8900.133](#). This Notice, now canceled, provided guidance concerning Approving/Accepting Manuals that contain SMS related processes or references and issues concerning denied entry into foreign airspace for U.S. certificated service providers.
- July 23, 2009 [Advanced Notice of Proposed Rulemaking](#) (ANPRM) was published in the Federal Register to solicit information on potential rulemaking requiring certain certificate holders and product/service providers to develop a Safety Management System (SMS).
- July 28, 2010 [HR 5900](#) bill was introduced as the "Airline Safety and Federal Aviation Administration Act of 2010". This bill would require all part 121 air carriers to implement a SMS.
- August 1, 2010 [PL 111-216](#). (HR 5900 was signed into law) SEC. 215 SAFETY MANAGEMENT SYSTEMS mandated the Administrator of the FAA to conduct a rulemaking proceeding to require all **part 121** air carriers to implement a safety management system. A NPRM was required to be issued not later than 90 days after the effective date of this law. A final rule must be issued not later than 24 months after the effective date of this law.
- November 5, 2010 [Notice of Proposed Rulemaking Safety Management Systems for Part 121 Certificate Holders](#) was published. **NOTE: The new proposed 14 CFR Part 5 rule will only require certificate holders operating under part 121 to develop and implement an SMS.** Comment period ended February 3, 2011. The FAA will initiate additional rulemaking in the future to consider SMS for other product/service providers.
- November 18, 2010 [ICAO Annex 6 amendment 33](#) requires that an operator implement a SMS in accordance with the ICAO SMS Framework contained in Appendix 7. Adds SMS specifics to the January, 2009 requirement in the form of 4 components and 12 elements.
- January 31, 2011 NPRM comment period is extended to March 7, 2011.
- August 1, 2012 [PL 111-216](#) mandates a final rule be issued requiring part 121 certificate holders to implement a safety management system. This requirement will be met through publication of the new Part 5 rule. The FAA is also considering future rulemaking for part 135 certificate holders and part 145 repair stations.
- 2013 Implementation of Safety Assurance System (SAS). Currently being developed by the [SASO Program Office](#). The SAS oversight will interface between the Safety Assurance component of the AVS SMS and the certificate holders' SMS. (See illustration below).

### Contact Information NEW!

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